

# The Human Circadian System in Normal and Disordered Sleep

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The human circadian system regulates rhythmicity in the human body and establishes normal sleep and wake phases. The suprachiasmatic nuclei (SCN), located in the hypothalamus above the optic chiasm, make up the human pacemaker known as the circadian or biological clock, but other essential parts of the circadian system include the pineal gland, retina, and retinohypothalamic tract. The importance of light in resetting the intrinsic human circadian cycle, the intrinsic period of which is slightly longer than 24 hours, ensures that the human cycle will stay entrained to the earth's 24-hour daily cycle. Within the SCN neurons, circadian rhythmicity is generated by the regular transcription of proteins. Since the circadian system is the foundation of the sleep-wake cycle, disorders and abnormalities in sleep are often connected with disorders or abnormalities in the circadian system. Circadian rhythm sleep disorders, such as jet lag syndrome and shift work sleep disorder, are those specifically attributed to dysfunctions or insufficiencies in the circadian system. Taking into consideration the preeminence of the circadian clock in timing sleep, it is likely that other sleep disorders, such as insomnia, are also linked to circadian system abnormalities.

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Over the last 20 years, the study of circadian rhythms and the system that controls them has evolved from a basic inquiry about the existence of a circadian clock into a comprehensive study of the functional anatomy, physiology, and neurophysiologic foundations of the circadian system. The circadian (from the Latin *circa*, meaning "about," and *dies*, meaning "day") system entrains rhythmicity in the human body and maintains normal sleep and wake phases. Consequently, abnormal or disordered sleep is often correlated with abnormal or dysfunctional circadian systems.

## THE CIRCADIAN SYSTEM

The human circadian system comprises the retina, retinohypothalamic tract, pineal gland, and suprachiasmatic nuclei (SCN). Located in the hypothalamus above the optic chiasm, the SCN are primarily responsible for the endogenous generation of normal circadian rhythmicity and are commonly referred to as the circadian or biological clock.

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## Functional Physiology of the Circadian System

The SCN keep time for the body and engage in neuronal firing that instructs the various systems and organs of the body to perform or cease the activities appropriate to the time of the day, month, or year. A free-running human circadian clock exhibits a daily cycle of greater than 24 hours; however, the SCN rely on an outside *zeitgeber*, or "time giver" to provide an accurate measurement of environmental time and reset the human daily cycle appropriately each day.<sup>1</sup> As the most reliable measure of environmental time, the daily cycle of light and darkness acts as the *zeitgeber* for the circadian system of most species. The circadian rhythm is, therefore, a function of 2 cycles—the organism's internal circadian clock cycle and the earth's day/night cycle.

## The Circadian Clock: The Suprachiasmatic Nuclei

The neuronal firing of the SCN is the mechanism that provides the basis for circadian rhythmicity. The SCN are 2 clusters of approximately 10,000 neurons located in the hypothalamus above the optic chiasm on either side of the third ventricle.<sup>2</sup> Explants of rodent SCN multiple units in vitro show persistence of rhythmic neuronal firing, evidencing that the SCN are the source of endogenous circadian rhythmicity.<sup>3</sup> When observed individually, each SCN neuron keeps its own time, although the precision of single neuron rhythmicity is not as great as the nucleus as a whole.<sup>4</sup> Thus, while the population of neurons within the SCN drive circadian rhythms in the intact organism, circadian rhythmicity is inherent in the bio-

chemistry of the clock's most basic building blocks—the SCN's neurons.<sup>5</sup>

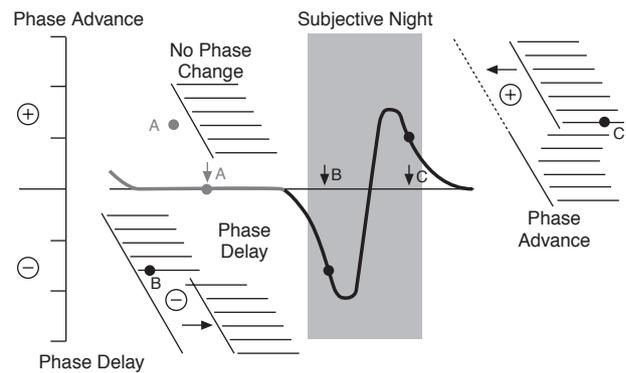
In the last few years, the functional origins of circadian rhythmicity within the SCN neurons have been attributed to the genetic transcription of proteins. The activity of 2 sets of proteins creates the circadian cycle. In mammals, the CLOCK protein binds with the BMAL1 protein to form a dimer (a pair of molecules) that acts as an “on” switch for the transcription process as the day begins.<sup>6</sup> The BMAL1/CLOCK dimer triggers the transcription of period (PER) and cryptochrome (CRY) proteins by binding to the *Per* and *Cry* gene promoters inside the nucleus. (The SCN neurons of mammals have 2 types of *Cry* genes, *Cry1* and *Cry2*, and 3 types of *Per* genes, *Per1*, *Per2*, and *Per3*; however, for the sake of simplicity in this text, all the genes are called either *Per* or *Cry*.) Throughout the day, these activated gene promoters send *Per* or *Cry* mRNA out to the ribosomes that translate the mRNA into PER and CRY proteins.

Unless PER protein binds with another PER or CRY protein to form a dimer, this protein is vulnerable to degradation because the casein kinase 1 epsilon (*CK1ε*) in the cytoplasm of the cell phosphorylates solitary PER protein, making it instable. The proteins that do bond into PER/PER or PER/CRY dimers translocate from the cytoplasm into the nucleus, assisted by the *CK1ε* in an unknown way. They then interact with BMAL1/CLOCK and prevent transcription of their own *Per* and *Cry* genes, creating a negative feedback loop. Throughout the night, no new PER or CRY proteins are created, while the dimers within the nucleus slowly degrade. As each dimer blocking the transcription process degrades, another dimer fills its space, continuing to obstruct transcription. Finally, when there are not enough dimers to prevent transcription, the *Per* and *Cry* promoters are activated once again, beginning the transcription of PER and CRY. This cycle of protein transcription, binding, and degradation is approximately 24 hours in duration and is the basis of mammalian circadian rhythmicity.

The circadian rhythm in gene transcription is translated into a rhythm in neuronal firing by tying the levels of ion channels, receptors, or transmitters to the rhythmically transcribed genes. The result is an endogenous rhythm in neuronal activity within the SCN. A study<sup>7</sup> of 2-deoxyglucose uptake in hamster brains showed SCN activity during circadian day and SCN inactivity during circadian night.

Having an understanding of the basic molecular functioning of the healthy circadian clock allows researchers more insight into the cause of sleep disorders. Since the *Per* and *Cry* genes play such an important role in maintaining the circadian clock, polymorphisms or variation in these genes can cause variations in the circadian clock mechanism, resulting in abnormally long or short circadian periods. These variations manifest clinically as

Figure 1. Phase-Response Curve<sup>a</sup>



<sup>a</sup>Adapted with permission from Czeisler et al.<sup>8</sup>

kindreds in which affected members show abnormally early or late bedtimes (advanced sleep phase syndrome and delayed sleep phase syndrome, respectively).

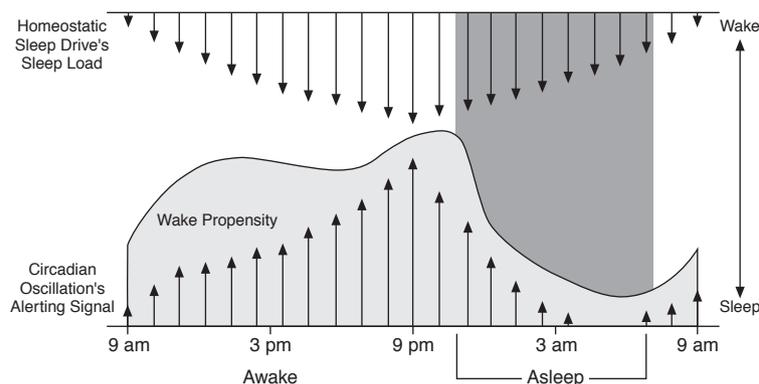
### Phase-Response Curve of the Circadian Clock

The phase-response curve is a mathematical expression of the relationship between the oscillation of the circadian clock and phase-altering stimuli, such as light. Specifically, the phase-response curve plots the phase of the circadian oscillation at which the phase-altering stimulus is applied (on the x-axis), and the direction and magnitude of the resultant change in phase (on the y-axis).

Phase-response curves are important in understanding how biological clocks may be manipulated and understanding treatment of circadian rhythm disorders. For example, a phase-response curve may show the phase-advancing and phase-delaying effects of light upon the normal circadian cycle (Figure 1).<sup>8</sup> Exposure to light during the middle of the day causes no phase change (“A” in Figure 1). Light exposure causes phase delay when it occurs early in the “dark period” or night (“B” in Figure 1) and causes phase advance when it occurs late in the night (“C” in Figure 1). This phase-response relationship between circadian phase and light is an inherent property of the circadian oscillation, and the same is true of the relationship between circadian phase and other potential manipulators such as melatonin.

### CIRCADIAN CONTROL OF NORMAL SLEEP

The human circadian clock modulates the timing of sleep and wakefulness through direct effects on sleep tendency (sleepiness/alertness) and on the neurophysiologic processes governing sleep state expression. In a 1974 study of sleep-wake phases by Weitzman and colleagues,<sup>9</sup> 7 healthy adults were asked to adhere to a 3-hour sleep-wake cycle for 10 days. The subjects had 1 hour to sleep and 2 hours to be awake during the 3-hour period. Despite

Figure 2. Homeostatic Sleep Drive Versus Circadian Oscillation<sup>a,b</sup>

<sup>a</sup>Adapted with permission from Kilduff and Kushida<sup>10</sup> and Edgar et al.<sup>11</sup>

<sup>b</sup>Circadian oscillation and the homeostatic sleep drive both shape the sleep-wake cycle, but the oscillation of the circadian clock has a more powerful influence. For example, despite the great need for sleep around 9 p.m., sleep does not occur because of the high level of alertness caused by the circadian oscillation. Around 6 a.m., the trough of the circadian oscillation maintains sleep despite the very small need for sleep from the homeostatic sleep drive.

the accumulated sleep deprivation over the course of the study, subjects were not able to sleep well during the appointed sleep times that occurred during the peak of the body temperature rhythm, especially at 6 p.m. and 9 p.m. In contrast, when the appointed sleep time took place during the circadian phase conducive to sleep, in the trough of the body temperature rhythm (between 3 a.m. and 9 a.m.), subjects were able to use the 1 hour sleep allowance efficiently. These results reveal the strength of the circadian rhythm in dictating the timing of sleep. This relationship has serious implications for shift workers and other individuals who must live on a schedule that conflicts with the normal circadian cycle.

### The Homeostatic Sleep Drive Versus Circadian Oscillation

The homeostatic sleep drive is the physiologic drive to get the amount of sleep required for normal, stable daytime functioning and alertness. The need for sleep accumulates during wakefulness and dissipates during sleep. Thus, sleep deprivation intensifies the homeostatic need for sleep, making sleep more likely at inappropriate or unusual times.

Under normal conditions, the circadian cycle and the homeostatic sleep drive interact to produce sleep and wakefulness of appropriate duration and timing. However, as shown in the study by Weitzman and colleagues,<sup>9</sup> under conditions of sleep deprivation (and markedly increased homeostatic sleep drive), the circadian clock prevents meaningful recovery sleep at certain circadian phases, indicating that the circadian clock is the more powerful influence on sleep-wake expression under these conditions (Figure 2).<sup>10,11</sup> A 2001 study by Cajochen and colleagues<sup>12</sup> examined sleep as a function of circadian rhythm and ho-

meostatic sleep drive. Like Weitzman and colleagues, they found that circadian oscillation creates sleep “forbidden zones,” when sleep rarely occurs, and other times when sleep is almost unavoidable.

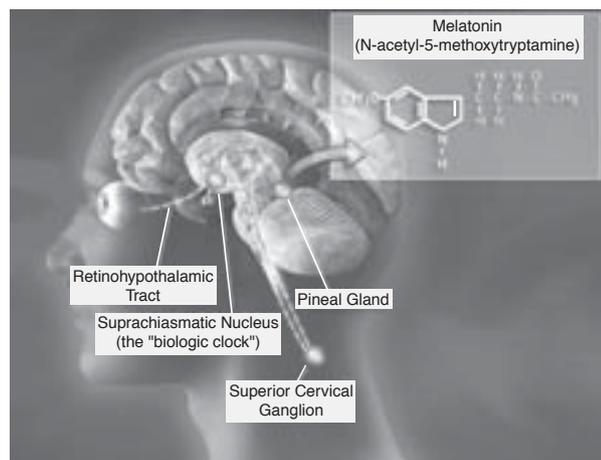
### MELATONIN

Melatonin (N-acetyl-5-methoxytryptamine) is the primary secretory product of the pineal gland; this hormone plays a fundamental role in circadian rhythmicity.<sup>13</sup> The pineal gland is a sympathetic efferent of the SCN that secretes melatonin into the general circulation in response to signals from the SCN (Figure 3).<sup>14</sup>

The pattern of melatonin secretion is dictated by the SCN, but the exact wave form is produced by the combination of the rhythmic influence of the SCN circadian oscillator and the photic inhibition of melatonin secretion caused by light. The signal from the SCN incorporates both circadian phase information and a direct signal about light and dark received from the retina. Melatonin secretion peaks during the night, when the SCN is in its trough and there is no light (“A” in Figure 4). The effect of light upon melatonin secretion can be shown by shining a light on the retina during the night; the light evokes an immediate decrease in melatonin secretion levels (“B” in Figure 4).

### Melatonin Receptors

The human SCN contains specific, high-affinity melatonin receptors. Unlike other animals, humans appear to have very few melatonin receptors in the central nervous system (CNS) outside of the SCN.<sup>15</sup> There are 4 types of melatonin receptors, but only 3 of them exist in humans. MT1 and MT2 (also known as Mel<sub>1a</sub> and Mel<sub>1b</sub>) are CNS

Figure 3. Melatonin and the Circadian System<sup>a</sup>

<sup>a</sup>Adapted with permission from Brzezinski.<sup>14</sup>

melatonin receptors, which are found in humans; MT<sub>3</sub> (formerly called Mel<sub>2</sub>) is the peripheral receptor. A receptor unique to frogs and birds, formerly called Mel<sub>1c</sub>, has no name according to the new nomenclature.

Using knockout mice, Liu and colleagues<sup>16</sup> studied melatonin mediation of the inhibition of SCN neuronal activity. When bathed with melatonin, an explant from a normal (wild type) mouse SCN stopped firing, displaying dose-dependent melatonin inhibition of SCN neuronal activity. When an SCN explant from a mouse with no MT<sub>1</sub> receptors was suffused with melatonin, there was no inhibition of neuronal activity, indicating that the MT<sub>1</sub> receptors mediate this inhibition. Also, SCN explants with no MT<sub>1</sub> receptors maintained their ability to move their peak activity earlier or later (phase shift); this implies that MT<sub>2</sub> receptors mediate phase shifting. Some species do not even have MT<sub>2</sub> receptors and are still able to inhibit SCN firing and shift phases, so this delineation of receptor function is not necessarily conserved across all phylogeny.

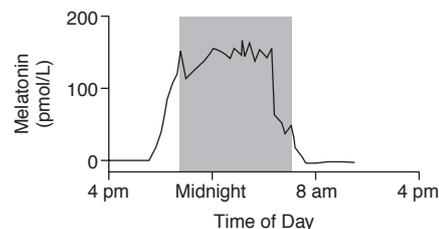
### The Role of Melatonin in Circadian Rhythmicity

Melatonin is centrally involved in maintaining circadian rhythmicity. Like light, melatonin is able to cause a change in the phase of the circadian oscillator. Exogenous melatonin in oral form causes a phase advance when administered late in the day and phase delay when administered early in the morning. Since melatonin has the opposite phase-altering effect of light, melatonin may be an effective means for counteracting the effect of light on oscillation.

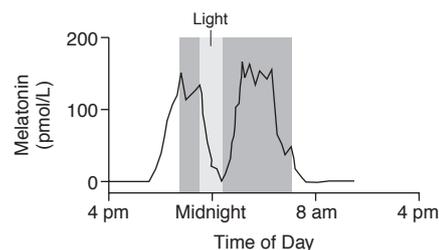
Melatonin and the SCN work together to control the sleep-wake cycle. The SCN control the timing of melatonin release, while melatonin feeds back on the SCN to inhibit its activity. The presumed function of this interac-

Figure 4. Melatonin Secretion Pattern<sup>a</sup>

#### A. Normal Secretion Pattern



#### B. Influence of Light



<sup>a</sup>G.S.R., unpublished data.

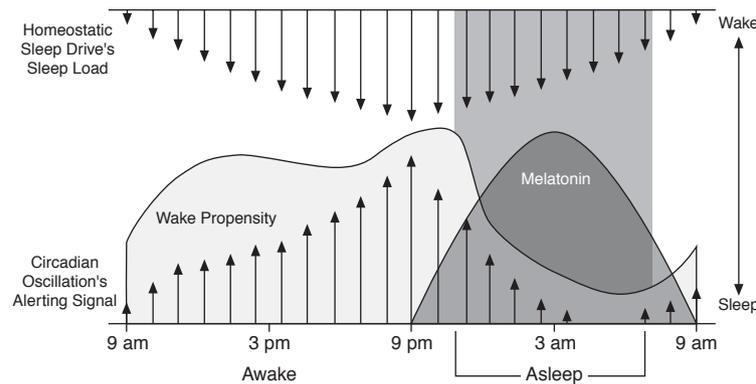
tion is to “sharpen” the SCN waveform (Figure 5).<sup>10,11,17</sup> This interaction may be particularly important because, by sharpening the offset in SCN activity, melatonin may potentiate sleep onset over a relatively narrow phase range. If the SCN functioned entirely independently from melatonin, a more sinusoidal waveform of the circadian clock would allow sleep onset to occur anywhere across a broad range of circadian phases. Sleep onset might take much longer and be less predictable from night to night. However, with the release of melatonin, a sharp decrease in SCN activity occurs upon secretion, narrowing the transition into sleep to a much more limited phase length. This relationship may underlie some of the sleep-wake difficulties seen in those older individuals in whom melatonin secretion is attenuated.

### CIRCADIAN RHYTHM SLEEP DISORDERS

Since the circadian clock plays such a fundamental role in sleep, some sleep disorders are attributed directly to abnormalities in the circadian clock or system.

#### Delayed Sleep Phase Syndrome

In delayed sleep phase syndrome (DSPS), the circadian clock is oriented late relative to the desired sleep-wake time. An individual with DSPS has trouble going to sleep at a reasonable hour and has trouble arising at a reasonable hour in the morning. Patients with this syndrome are usually alert in the evenings and sleepy in the morning. They have long sleep onset latency when they try to go to bed at a socially appropriate time. As discussed

Figure 5. Melatonin and the Circadian Oscillator<sup>a,b</sup>

<sup>a</sup>Adapted with permission from Kilduff and Kushida,<sup>10</sup> Edgar et al.,<sup>11</sup> and Dijk et al.<sup>17</sup>

<sup>b</sup>Melatonin and the SCN circadian oscillator sharpen each other's wave form. The sudden drop in circadian alerting signal between 10 and 11 p.m. is caused in part by the increase in melatonin secretion that is taking place at that time, inhibiting SCN neuronal firing. Without the release of melatonin, the decrease in SCN activity at nighttime would happen more gradually, making the transition to sleep and sleep onset a much longer and less predictable process.

above, polymorphisms of the intrinsic clock genes may predispose an individual to DSPS by producing an unusually long circadian period. While cases of presumably genetic DSPS have been reported, it remains unclear what percentage of DSPS patients may have a genetic foundation.

Studies of individuals with DSPS show that sleep is normal at the biologically appropriate time and abnormal at the socially appropriate time.<sup>18</sup> If the schedules of DSPS patients allow them to fall asleep and wake up when they want, their sleep time and efficiency are normal. Also, constant routine body temperature recordings show the minimum body temperature of DSPS patients to occur several standard deviations late in the circadian cycle relative to age-matched norms.<sup>19</sup>

### Advanced Sleep Phase Syndrome

In advanced sleep phase syndrome (ASPS), the circadian clock is oriented early relative to the desired sleep-wake time. Patients with ASPS are sleepy in the evening and alert in the morning, awakening very early in the morning. The typical patient with ASPS is older, but there are some young people with ASPS. As with DSPS, genetics may play a role in the syndrome. In families with genetic polymorphisms of *hPer2* genes, for example, even younger individuals experience ASPS symptoms.<sup>20</sup>

### Jet Lag Syndrome

In jet lag or time zone syndrome, the circadian clock is attempting to function in the midst of a sudden change in light-dark orientation due to air travel across time zones. This disorder does not stem from a dysfunction of the circadian clock; rather, environmental cues and the light-dark cycle are in conflict with the circadian clock's internal

timing. The symptoms of jet lag syndrome are generally mild and temporary.

### Shift Work Sleep Disorder

In shift work sleep disorder (SWSD), symptoms arise because the individual is attempting to wake and sleep out of phase with the dictates of the endogenous circadian clock. As with jet lag disorder, the clock is functioning normally in shift work disorder; the requirements put upon the clock are abnormal. Even after several weeks of shift work, the circadian clock does not truly adapt to the abnormal schedule as long as the *zeitgeber*, light exposure, is providing information about the time of day.<sup>21</sup> SWSD affects performance both through the immediate impairment produced by attempting to function at an inappropriate circadian phase (night) and by the cumulative effects of sleep deprivation resulting from the foreshortened and disrupted sleep obtained at a nonconductive phase (day).

### Non-24-Hour Sleep-Wake Syndrome

In non-24-hour sleep-wake syndrome, the circadian clock free-runs according to its endogenous circadian cycle of longer than 24 hours despite the presence of environmental cues. The clock is unable to entrain to the normal light-dark cycle. The majority of individuals with this syndrome are blind, but some sighted individuals also experience it.

### Irregular Sleep-Wake Pattern

Individuals with irregular sleep-wake patterns complain of poorly consolidated or shortened sleep during the night and take frequent and irregularly timed naps during the day. Although some patients with this disorder have

functional lesions of the circadian clock, the majority of the cases of irregular sleep-wake pattern are attributable to poor sleep hygiene, in which irregular napping leads to difficulty sleeping at night.<sup>22</sup> For some patients, the disorder may be caused by a combination of both factors. The napping of individuals who experience this disorder as a result of poor sleep hygiene still respects the circadian clock's sleep forbidden zone, indicating that their circadian clocks are functioning and entrained properly.

### INSOMNIA AND THE CIRCADIAN CLOCK

Is typical insomnia—that which is not diagnosed as a specific circadian rhythm sleep disorder—associated with alterations in the circadian oscillator as well? The importance of the circadian system in controlling sleep suggests that it might be. In a study<sup>23</sup> examining melatonin secretion in individuals with chronic primary insomnia, the amplitude of the melatonin rhythm was significantly reduced, particularly in those whose insomnia had lasted more than 5 years. Although the direction of the relationship in this study is not clear, these findings are nonetheless consistent with the hypothesis that a decrease in the functional contribution of melatonin by the pineal gland may contribute to chronic insomnia.

There is some debate about whether circadian phase is abnormal in insomnia, but a study<sup>24</sup> of individuals with early morning insomnia showed substantial circadian phase advance. Of course, as with the changes in melatonin amplitude, it is not clear whether the changes in phase are primary or secondary. The differential light exposure in the morning relative to the evening, as a result of rising early in the morning, may subsequently produce a phase shift. When insomnia patients are grouped according to complaint (sleep onset insomnia versus early morning insomnia), circadian phase abnormality is often correlated. People with sleep onset insomnia tend to be phase delayed, and people with early morning insomnia tend to be phase advanced.

If insomnia is related to circadian rhythm abnormality, chronobiotics (drugs capable of shifting the circadian phase) may be useful in treating insomnia. In a study by Garfinkel and colleagues,<sup>25</sup> controlled-release melatonin was efficacious in improving sleep efficiency, sleep latency, and wake after sleep onset for individuals with low melatonin levels. Since low melatonin levels may alter SCN-pineal gland feedback, chronobiotics may be able to treat insomnia by reversing the abnormal pineal effect, reestablishing the link between the SCN and the pineal gland, and reentraining the circadian rhythm.

### CONCLUSION

The human circadian clock controls the timing of physiologic processes that are necessary for life. A func-

tional and healthy circadian system is essential to the maintenance of optimal internal and external temporal organization. The importance of the circadian clock to normal function is particularly apparent in the expression of sleep and wakefulness.

Sleep disorders can often be traced to abnormalities in the circadian system. Insight into the nature of circadian rhythm disorders already allows clinicians to treat some of these syndromes. Research into the relationship between the circadian system and other sleep disorders will highlight the role of specific treatments that can manipulate the parameters of the circadian clock. As the scientific understanding of the circadian system grows, clinicians will have more opportunities to reentrain the circadian clock in order to correct disordered sleep.

*Disclosure of off-label usage:* The author of this article has determined that, to the best of his knowledge, no investigational information about pharmaceutical agents that is outside U.S. Food and Drug Administration–approved labeling has been presented in this article.

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